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1064 U.S. PTO

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Please type a plus sign (+) inside this box → +

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|-------------------------------|--|
| Attorney Docket No. | 102.01 |
| First Inventor | OCKENFUSS |
| Title | Stress Free and Thermally Stabilized Dielectric Film |
| Express Mail Label No. | ET230701550US |

| | | |
|--|--|--|
| APPLICATION ELEMENTS | | ADDRESS TO: |
| See MPEP chapter 600 concerning utility patent application contents. | | Assistant Commissioner for Patents Box Patent Application Washington, DC 20231 |

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 27]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
5. Oath or Declaration [Total Pages]
- a. Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
- i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)
11. English Translation Document (if applicable)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other *Authorizations to charge deposit account*

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.: _____ / _____

Prior application information: Examiner _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

| | | | |
|---|---|-----------------------------------|---|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label | (Insert Customer Number or Bar Code Label here) | | <input type="checkbox"/> or <input type="checkbox"/> Correspondence address below |
| Name | 30480 | | |
| PATENT & TRADEMARK OFFICE | | | |
| Address | | | |
| City | State | Zip Code | |
| Country | Telephone | Fax | |
| Name (Print/Type) | EDWARD S. SHERMAN | Registration No. (Attorney/Agent) | 43,115 |
| Signature |  | | Date NOV. 14, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 1,388)

Complete if Known

| | |
|----------------------|---------------|
| Application Number | |
| Filing Date | NOV. 14, 2001 |
| First Named Inventor | OCKENFUSS |
| Examiner Name | |
| Group Art Unit | |
| Attorney Docket No. | 102.01 |

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50 - 1465

Deposit Account Name JDS UNIPHASE CORP.

 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

 Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code (\$) | Fee (\$) | Fee Code (\$) | Fee Description | Fee Paid |
|-----------------------|----------|---------------|-----------------|------------------------|
| 101 | 740 | 201 | 370 | Utility filing fee |
| 106 | 330 | 206 | 165 | Design filing fee |
| 107 | 510 | 207 | 255 | Plant filing fee |
| 108 | 740 | 208 | 370 | Reissue filing fee |
| 114 | 160 | 214 | 80 | Provisional filing fee |
| SUBTOTAL (1) (\$ 740) | | | | |

2. EXTRA CLAIM FEES

| Total Claims | 28 | -20** = | 8 | x 18 | = 144 | Fee from below | Fee Paid |
|--------------------|----|---------|---|------|-------|----------------|----------|
| Independent Claims | 9 | - 3** = | 6 | x 84 | = 504 | | |
| Multiple Dependent | | | | | | | |

Large Entity Small Entity

| Fee Code (\$) | Fee (\$) | Fee Code (\$) | Fee Description |
|--|----------|---------------|-----------------|
| 103 | 18 | 203 | 9 |
| 102 | 84 | 202 | 42 |
| 104 | 280 | 204 | 140 |
| 109 | 84 | 209 | 42 |
| 110 | 18 | 210 | 9 |
| Claims in excess of 20 | | | |
| Independent claims in excess of 3 | | | |
| Multiple dependent claim, if not paid | | | |
| ** Reissue independent claims over original patent | | | |
| ** Reissue claims in excess of 20 and over original patent | | | |
| SUBTOTAL (2) (\$ 1,388) | | | |

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

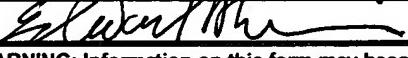
| Large Entity | Small Entity | Fee Description | Fee Paid |
|---------------------------|--------------|-----------------|---|
| Fee Code (\$) | Fee (\$) | Fee Code (\$) | |
| 105 | 130 | 205 | 65 Surcharge - late filing fee or oath |
| 127 | 50 | 227 | 25 Surcharge - late provisional filing fee or cover sheet |
| 139 | 130 | 139 | 130 Non-English specification |
| 147 | 2,520 | 147 | 2,520 For filing a request for ex parte reexamination |
| 112 | 920* | 112 | 920* Requesting publication of SIR prior to Examiner action |
| 113 | 1,840* | 113 | 1,840* Requesting publication of SIR after Examiner action |
| 115 | 110 | 215 | 55 Extension for reply within first month |
| 116 | 400 | 216 | 200 Extension for reply within second month |
| 117 | 920 | 217 | 460 Extension for reply within third month |
| 118 | 1,440 | 218 | 720 Extension for reply within fourth month |
| 128 | 1,960 | 228 | 980 Extension for reply within fifth month |
| 119 | 320 | 219 | 160 Notice of Appeal |
| 120 | 320 | 220 | 160 Filing a brief in support of an appeal |
| 121 | 280 | 221 | 140 Request for oral hearing |
| 138 | 1,510 | 138 | 1,510 Petition to institute a public use proceeding |
| 140 | 110 | 240 | 55 Petition to revive - unavoidable |
| 141 | 1,280 | 241 | 640 Petition to revive - unintentional |
| 142 | 1,280 | 242 | 640 Utility issue fee (or reissue) |
| 143 | 460 | 243 | 230 Design issue fee |
| 144 | 620 | 244 | 310 Plant issue fee |
| 122 | 130 | 122 | 130 Petitions to the Commissioner |
| 123 | 50 | 123 | 50 Processing fee under 37 CFR 1.17(q) |
| 126 | 180 | 126 | 180 Submission of Information Disclosure Stmt |
| 581 | 40 | 581 | 40 Recording each patent assignment per property (times number of properties) |
| 146 | 740 | 246 | 370 Filing a submission after final rejection (37 CFR § 1.129(a)) |
| 149 | 740 | 249 | 370 For each additional invention to be examined (37 CFR § 1.129(b)) |
| 179 | 740 | 279 | 370 Request for Continued Examination (RCE) |
| 169 | 900 | 169 | 900 Request for expedited examination of a design application |
| Other fee (specify) _____ | | | |

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 1,388)

SUBMITTED BY

Complete (if applicable)

| | | | | | |
|-------------------|---|--------------------------------------|--------|-----------|-----------------|
| Name (Print/Type) | EDWARD S. SHERMAN | Registration No. (Attorney/Agent) | 43,115 | Telephone | 707) 539 - 7680 |
| Signature |  | | | Date | NOV. 14, 2001 |

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November 13, 2001

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Commissioner of Patents and Trademarks
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Dear Sir,

JDS Uniphase Corporation hereby authorizes the following patent practitioner to charge to account deposit account # 50- 1465:

Edward S. Sherman Registration # 43,115 Practitioner Customer #: 30480

Respectfully,

A handwritten signature in black ink, appearing to read "Neil Teitelbaum".

Neil Teitelbaum
Regn No: 38,793

Customer No: 24949

c/o Neil Teitelbaum
Director, Intellectual Property
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Intellectual Property Dept.
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